

PRIVILEGED & CONFIDENTIAL
ATTORNEY-CLIENT COMMUNICATION

Philip Morris Companies Inc.
Philip Morris Management Corp.
Philip Morris International
Philip Morris Capital Corp.

RECORDS MANAGEMENT PROGRAM QUESTIONNAIRE

TO: HUNTON & WILLIAMS
Ray V. Hartwell, III, Esquire
Arthur J. DeBaugh, Esquire
Post Office Box 1535
Richmond, Virginia 23212-1535

FROM: Name: James L. Wegman

Title: Security Manager

Department: Headquarters Services

Division/functional area: Security/Reception

Immediate supervisor
and title: _____

Anthony M. Morelli, Director Headquarters
Services

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DEFINITIONS

RECORDS - Any generated or received paper, book, photograph, microform (microfilm or microfiche), map, drawing, chart, card, magnetic tape or other computerized information, or any copy or printout thereof. Records include not only official files, central files, and stored files, but also all records relating to the Company's business regardless of their physical location, including records kept in your desk, credenza, home, car, etc.

RECORD CATEGORY - Any group of related records which are normally used and filed as a unit and permit evaluation as a unit for purposes of setting retention periods. A record category is not necessarily a file folder title. Good examples of record categories are: Purchase Orders; Budgets; Performance Appraisals; Status Reports; Managers' Meetings. Exhibit A is a list of some commonly used categories.

PLEASE COMPLETE THE FOLLOWING FULLY AND CAREFULLY:

1. Exhibit B is the records retention schedule which is meant to apply to your department's records. If you believe a different retention schedule applies to your area, please attach a copy of such schedule. If your department uses a method other than a formal retention schedule to determine how long records should be kept, please describe this method and provide copies of all relevant materials.

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2. Please list all categories of records currently maintained by your department in its office area or on-site. Provide the record category name, the approximate chronology (or year of the earliest dated document in the category), the retention period, and how the retention period is determined (for example, by a records retention schedule, through general office practice or routine, etc.). Make additional copies of this page if necessary.

CURRENT DEPARTMENT RECORDS CATEGORIES

<u>Category</u>	<u>Chronology</u>	<u>Retention Period</u>	<u>How Determined</u>
Incident Reports	1988	Per.	G.O.P.
Correspondence	1988	C+2	G.O.P.
Attendance	1989	C+1	G.O.P.
Organizational Charts	1986	Sup.	G.O.P.
Personnel Requisitions	1978	Per.	G.O.P.
Bulletins/Postings/Notices	1986	C+1	G.O.P.
Position Descriptions	1978	Per.	G.O.P.
Staff Meetings	1988	C+2	G.O.P.
Manager's Meetings	1987	C+2	G.O.P.
Vacations	1988	C+2	G.O.P.
Payroll Instructions	1986	Per.	G.O.P.
Operation Interlock	1978	C+2	G.O.P.
Government Laws/Regulations/ Agencies	1975	Per.	Required By Govt. Regs/or Laws
Goals/Objectives/Planning	1988	C+3	G.O.P.
Bids/Quotations On Projects	1988	C+1	G.O.P.
Summer Interns Requests	1988	C+1	G.O.P.
Crisis Management	1983	Per.	G.O.P.
Floor Plans Re: Projects	1988	Per.	G.O.P.
CPS/Homeless Issues	1989	C+1	G.O.P.
Building & Grounds Issues	1989	C+1	G.O.P.
Lobby Security Issues	1986	C+2	G.O.P.
Minority Expenditures	1986	C+3	G.O.P.
Associations & Membership Meetings	1985	C+2	G.O.P.
Travel Advisories	1988	C+2	G.O.P.
Contracts & Agreements	1988	Ter+6	G.O.P.
Library Reference Material Index	1988	Sup.	G.O.P.
Visits/Tours/Trips	1984	C+2	G.O.P.
Awards-Service Dept. Members	1988	C+2	G.O.P.
Capital Forecasts/Capital Expenditures Budgets	1981	C+3	G.O.P.
Emergency Notifications Lists	1987	C+1	G.O.P.
Service Records	1988	C+2	G.O.P.
Investigations	1988	C+2	G.O.P.
Employee Profiles	1989	Current Until Ter.	G.O.P.
Telephone Bills/Reports	1987	C+1	G.O.P.
Sexual Harassment Information File	1988	C+1	G.O.P.
Computer Security Information File	1987	C+1	G.O.P.

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2. Please list all categories of records currently maintained by your department in its office area or on-site. Provide the record category name, the approximate chronology (or year of the earliest dated document in the category), the retention period, and how the retention period is determined (for example, by a records retention schedule, through general office practice or routine, etc.). Make additional copies of this page if necessary.

CURRENT DEPARTMENT RECORDS CATEGORIES

<u>Category</u>	<u>Chronology</u>	<u>Retention Period</u>	<u>How Determined</u>
Aid In The Workplace Info. File	1987	C+1	G.O.P.
Calendars For Dept.	1989	C+1	G.O.P.
Personal Records/Files/Folders		Ter.	G.O.P.
Applications/Resumes	1984	C+1	G.O.P.
Conferences/Seminars	1984	C+2	G.O.P.
Contributions Requests And Vouchers	1986	C+1	G.O.P.
Electronic Inspections	1986	C+2	G.O.P.
Training & Development Info.	1979	C+2	G.O.P.
Carlstadt Related Info.	1984	C+2	G.O.P.
Miller Brewing Co. Related Info.	1980	C+2	G.O.P.
Aircraft Facilities Related Info.	1982	C+2	G.O.P.
Brochures	1986	C+1	G.O.P.
Budget	19899	C+2	G.O.P.
Invoices	1988	C+2	G.O.P.
Expenses	1988	C+2	G.O.P.
Purchase Orders/Requisitions	1988	C+1	G.O.P.
Publications/Newsletters	1988	C+2	G.O.P.
Vouchers	1985	C+1	G.O.P.
Organizational Announcements	1987	C+1	G.O.P.
Performance Indicators	1988	C+2	G.O.P.
Manager's Status Reports	1988	C+2	G.O.P.
Grand Central Partnership	1989	C+1	G.O.P.
Surveys:Air Quality, Lost Access Plates	1987	C+3	G.O.P.

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3. Please list all categories of business-related records currently maintained by personnel in your department in their desks, credenzas, work areas, homes, etc. Such records include daytimers, working copies of ongoing project files, drafts of reports, or other materials that are not part of a shared file. Provide the category, chronology, retention period, and how this retention period is determined. Make additional copies of this page if necessary.

CONVENIENCE FILES

<u>Category</u>	<u>Chronology</u>	<u>Retention Period</u>	<u>How Determined</u>
Calendars	1990	C+1	G.O.P.
Trip Reports	1990	C+1	G.O.P.
Future Files/Tickler File	1990	Current	G.O.P.

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4. Exhibit C is a computer printout of all records or boxes your department has sent to QRSA, Iron Mountain, or Carlstadt. Please review this list for completeness and accuracy. From this printout, please determine what categories of records your department has stored at QRSA, Iron Mountain, or Carlstadt and list those categories below. If you know of other categories of records in storage not listed on Exhibit C, or if you store records in a different off-site facility, please provide the category, the location of the stored files, the approximate chronology, the retention period, and how this retention period is determined. Make additional copies of this page if necessary.

STORED CATEGORIES OF RECORDS

<u>Category</u>	<u>Location</u>	<u>Chronology</u>	<u>Retention Period</u>	<u>How Determined</u>
Philip Morris World Misc.	Carlstadt	1988	C+2	G.O.P.
Dept. Roll Calls-Daily	Carlstadt	1988	Destroy	G.O.P.
Omega Alarm System Tapes, Mis.	Carlstadt	1987	Destroy	G.O.P.
Incident Reports-Theft	Carlstadt	1988	Per.	G.O.P.
Budget Book, Mis.	Carlstadt	1986	Destroy	G.O.P.
Accident & Incident Reports	Carlstadt	1986	Per.	G.O.P.
Incidents Reports, Mis.	Carlstadt	1985	Per.	G.O.P.
Material, Mis.	Carlstadt	1987	Destroy	G.O.P.
M. Waddy, Building Surveys	Carlstadt	1985	Destroy	G.O.P.
Loading, Mis.	Carlstadt	1988	Destroy	G.O.P.
Security Conference Folder	Carlstadt	1988	C+1	G.O.P.
All Outside Vendor Invoices	Carlstadt	1987	C+1	G.O.P.
Accident Reports And Invoices	Carlstadt	1987	Per.	G.O.P.
Employee Investigations	Carlstadt	1988	Per.	G.O.P.

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6. State the number of employees in your department who maintain records to which the information provided in response to this questionnaire applies.

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7. What laws, governmental regulations, etc., do you perceive as governing your departmental records or as requiring you to retain records?

OSHA/NYCFD/NYC Dept. of Buildings.

5. Please list all machine-readable or electronic categories of records maintained by your department, where the data are used or located (e.g., P.C., mainframe, floppy disks, etc.), the chronology, the retention period, and how the retention period is determined. Make additional copies of this page if necessary.

MACHINE-READABLE OR ELECTRONIC CATEGORIES OF RECORDS

<u>Category</u>	<u>Location/Type of Medium</u>	<u>Chronology</u>	<u>Retention Period</u>	<u>How Determined</u>
DataEase	Mainframe	1989	Per.	G.O.P.
Profs	Mainframe	1990	Per.	G.O.P.
Outside Security	Mainframe	1987	Per.	G.O.P.
Consultants Modem				
Government Laws/ Regulations/Agencies	Floppy	1987	Sup.	OSHA/NYCFD Regulations
Fire Related				
Travel Advisories Form	Floppy	1990	Current	G.O.P.
Memos				
General Correspondence	Floppy	1987	C+@	G.O.P.
Index Library/Reference	Floppy	1988	Sup.	G.O.P.
Material				
Monthly Status Reports	Floppy	1987	C+1	G.O.P.
Performance Indicators	Floppy	1987	C+1	G.O.P.
Budgets	Floppy	1987	C+1	G.O.P.
Electronic Inspection	Floppy	1987	C+1	G.O.P.
Forms & Memos Vacation	Floppy	1988	C+1	G.O.P.
Holiday Schedules				
Bulletin Board/Postings	Floppy	1986	C+1	G.O.P.
Notices				
Attendance Records	Lotus	1989	C+2	G.O.P.
Invoices	Floppy	1987	C+2	G.O.P.
Meetings	Floppy	1987	C+1	G.O.P.
Dept. Policies & Procedures	Floppy	1987	Sup.	G.O.P.
Conferences & Seminars	Floppy	1988	C+2	G.O.P.
Surveys & Studies	Floppy	1987	C+2	G.O.P.
Security Inspection	Floppy	1989	C+1	G.O.P.
Reminders				
Building & Grounds	Floppy	1987	C+2	G.O.P.

EXHIBIT A

<u>Category</u>	<u>Retention</u>
ADMINISTRATIVE	C+2
AFFIRMATIVE ACTION	C+2
\ APPLICATIONS/RESUMES	C+1
APPROPRIATIONS	C+2
\ ASSOCIATIONS & MEMBERSHIPS	C+1
• ATTENDANCE	C+1
BENEFITS	C+2
, BIDS/QUOTATIONS	C+1
BILLS	C+1
BILLS OF LADING	C+1
\ BROCHURES	C+1
\ BUDGETS	C+1
BUILDINGS & GROUNDS	C+2
\ BULLETINS/POSTINGS/NOTICES	C+1
\ CALENDARS/DIARIES/DAYTIMERS	C+1
, CAMPAIGNS/PROGRAMS/SPECIAL EVENTS/AWARDS	C+2
~ CAPITAL FORECASTS/CAPITAL EXPENDITURES	C+3
CHRONOLOGICAL FILES	C+2
COMMITTEES	C+2
COMPENSATION	C+2
COMPETITORS	C+2
COMPLAINTS	C+1
, CONFERENCES & SEMINARS	C+2
, CONSULTANTS	C+2

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<u>Category</u>	<u>Retention</u>
CONTRACTORS	C+2
• CONTRACTS & AGREEMENTS	TER+6
• CORRESPONDENCE	C+2
EQUIPMENT/MACHINERY	SUP
• EXPENSES	C+2
FINANCIAL REPORTS	C+1
FIVE YEAR PLANS	C+3
• GOALS/OBJECTIVES/PLANNING	C+3
• GOVERNMENT LAWS/REGULATIONS/AGENCIES	SUP
• INVOICES	C+1
JOB ORDERS	C+1
LEASES	TER
LEGAL/LITIGATION	C+2
• LIBRARY/REFERENCE MATERIAL	SUP
LOSS PREVENTION	C+2
MAINTENANCE & HOUSEKEEPING	C+1
MANAGEMENT DEVELOPMENT	C+2
MANPOWER PLANNING	C+2
MANUALS	SUP
MAPS	SUP
• MEETINGS	C+1
• MINORITY EXPENDITURES	C+3
MONETARY APPROVALS	SUP
ORGANIZATION PLANNING	C+2
• ORGANIZATIONAL ANNOUNCEMENTS	C+1

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<u>Category</u>	<u>Retention</u>
ORGANIZATIONAL CHARTS	SUP
PAYROLL	C+1
PERFORMANCE APPRAISALS	C+1
PERSONNEL RECORDS/FILES/FOLDERS	TER
POLICIES & PROCEDURES	SUP
PRESENTATIONS & SPEECHES	C+2
PROCUREMENT/PURCHASING	C+1
PUBLICATIONS/NEWSLETTERS	C+2
PURCHASE ORDERS/REQUISITIONS	C+1
QUALITY ASSURANCE REPORTS	C+1
RECEIVING TICKETS	C+1
SERVICE RECORDS	C+2
STANDARDS/SPECIFICATIONS	SUP
STANDING ORDERS	SUP
SUNDRY ORDERS	C+1
SURVEYS & STUDIES	C+2
TELEPHONE BILLS/REPORTS	C+1
TIME SHEETS	C+1
TRAINING & DEVELOPMENT	C+2
TRIP REPORTS	C+1
VACATION/HOLIDAY SCHEDULES	C+1
VENDORS	C+2
VISITS/TOURS/TRIPS	C+2
VOUCHERS	C+1

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RW18734	MCINERNEY	R	89	PHILIP MORRIS WORLD, MISC.
7337F	WEGMAN	J	88	DEPARTMENT ROLL CALLS-DAILY AN
BW19347	WEGMAN	J	87	OMEGA ALARM SYSTEM TAPES, MISC
7182C	WEGMAN	J	88	INCIDENT REPORTS-THEFT AND P/T
BW19280	MCINERNEY	R	86	BUDGET BOOK, MISC.
BW10156	MCINERNEY	B	00	
BW19279	MCINERNEY	R	86	ACCIDENT & INCIDENT REPORTS, M
BW7560	MCINERNEY	R	85	INCIDENT REPORTS, MISC. CORRESP
BW25585	MCINERNEY	R	87	MATERIAL, MISC.
BW25869	MCINERNEY	R	85	M. WADDY, BUILDING SURVEYS, MST S
BW25584	MCINERNEY	R	88	LOADING, MISC.
BW4520	MCINERNEY	R	88	SECURITY CONFERENCE FOLDER, AU
BW4657	MCINERNEY	R	87	ALL OUTSIDE VENDORS INVOICES,
BW11945	MCINERNEY	R	87	ACCIDENT REPORTS, PHD INVOICES
BW3706	HEINS	S	88	MARKETING MEETING- NEW ORLEANS
7305D	MCINERNEY	R	88	EMPLOYEE INVESTIGATIONS GERI L
C290	CORPSECURITY/RECEPTI		16	